

**PATENT APPLICATION TRANSMITTAL LETTER**  
(Small Entity)

Docket No.  
**PRI-102**

TO THE ASSISTANT COMMISSIONER FOR PATENTS

Transmitted herewith for filing under 35 U.S.C. 111 and 37 C.F.R. 1.53 is the patent application of:  
**Srinanth SANKARAN**

For:

**METHOD AND SYSTEM FOR INTERACTIVE INITIAL OFFERING OF MULTI-CLASS FINANCIAL INSTRUMENTS**

Enclosed are:

- ☐ Certificate of Mailing with Express Mail Mailing Label No.  
☒ 17 sheets of drawings.  
☐ A certified copy of a application.  
☒ Declaration ☐ Signed. ☒ Unsigned.  
☒ Power of Attorney  
☐ Information Disclosure Statement  
☐ Preliminary Amendment  
☒ Verified Statement(s) to Establish Small Entity Status Under 37 C.F.R. 1.9 and 1.27.  
☐ Other:

**CLAIMS AS FILED**

For	#Filed	#Allowed	#Extra	Rate	Fee
Total Claims	30	- 20 =	10	x \$9.00	\$90.00
Indep. Claims	7	- 3 =	4	x \$39.00	\$156.00
Multiple Dependent Claims (check if applicable) <input type="checkbox"/>					\$0.00
BASIC FEE					\$380.00
TOTAL FILING FEE					\$626.00

- ☐ A check in the amount of to cover the filing fee is enclosed.  
☒ The Commissioner is hereby authorized to charge and credit Deposit Account No. 03-3836 as described below. A duplicate copy of this sheet is enclosed.  
☒ Charge the amount of \$626.00 as filing fee.  
☐ Credit any overpayment.  
☒ Charge any additional filing fees required under 37 C.F.R. 1.16 and 1.17.  
☐ Charge the issue fee set in 37 C.F.R. 1.18 at the mailing of the Notice of Allowance, pursuant to 37 C.F.R. 1.311(b).

Dated: 2/9/00

  
Signature

Lawrence D. Eisen  
Registration No. 41,009

cc:

**VERIFIED STATEMENT BY A NON-INVENTOR SUPPORTING  
A CLAIM BY ANOTHER FOR SMALL ENTITY STATUS**

Docket No.  
**PRI-102**

Serial No.  
New Application

Filing Date  
February 9, 2000

Patent No.

Issue Date

Applicant/ **Srikanth SANKARAN**  
Patentee:

Invention: **METHOD AND SYSTEM FOR INITIAL OFFERING OF MULTI-CLASS FINANCIAL INSTRUMENTS**

I hereby declare that I am making this verified statement to support a claim by

for small entity status for purposes of paying reduced fees to the United States Patent and Trademark Office, regarding the invention described in:

- ☒ the specification filed herewith with title as listed above.
- ☐ the application identified above.
- ☐ the patent identified above.

I hereby declare that I would qualify as an independent inventor as defined in 37 CFR 1.9(c) for purposes of paying fees to the United States Patent and Trademark Office, if I had made the above identified invention.

I have not assigned, granted, conveyed or licensed and am under no obligation under contract or law to assign, grant, convey or license, any rights in the invention to any person who would not qualify as an independent inventor under 37 CFR 1.9(c) if that person had made the invention, or to any concern which would not qualify as a small business concern under 37 CFR 1.9(d) or a nonprofit organization under 37 CFR 1.9(e). Note: Separate verified statements are required from each person, concern or organization having rights to the invention averring to their status as small entities. (37 CFR 1.27)

Each person, concern or organization to which I have assigned, granted, conveyed, or licensed or am under an obligation under contract or law to assign, grant, convey, or license any rights in the invention is listed below:

- ☒ no such person, concern, or organization exists.
- ☐ each such person, concern or organization is listed below.

FULL NAME  
ADDRESS

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME  
ADDRESS

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME  
ADDRESS

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

FULL NAME  
ADDRESS

☐ Individual ☐ Small Business Concern ☐ Nonprofit Organization

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 CFR 1.28(b))

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under section 1001 of Title 18 of the United States Code, and that such willful false statements may jeopardize the validity of the application, any patent issuing thereon, or any patent to which this verified statement is directed.

NAME OF PERSON SIGNING: Lawrence D. Eisen

TITLE IN ORGANIZATION: \_\_\_\_\_

ADDRESS OF PERSON SIGNING: **CROWELL & MORING LLP**  
**1001 Pennsylvania Avenue, N.W.**  
**Washington, D.C. 20004-2595**

SIGNATURE: \_\_\_\_\_

*Lawrence D. Eisen*

DATE: \_\_\_\_\_

*2/9/00*